



08-01-01  
518 Rec'd PCT/PTO 06 AUG 2001  
Express Mail No.: EL 501 641 199 US  
seq PCT #

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Xu *et al.*

Application No.: 09/763,334

Group Art Unit: To Be Assigned

Filed: February 16, 2001 as National Stage  
Application of PCT/US99/19068,  
filed August 18, 1999

Examiner: To Be Assigned

For: TREATMENT AND PREVENTION  
OF CANCER AND PITUITARY  
DISORDERS WITH LATS  
PROTEINS, DERIVATIVES AND  
FRAGMENTS, AND LATS  
KNOCK-OUT ANIMAL MODELS

Attorney Docket No.: 6523-020

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER  
35 U.S.C. § 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notification of Missing Requirements under 35 U.S.C. § 371 in the United States Designated/Elected Office (DO/EO/US) mailed March 28, 2001, a copy of which is attached, applicants herewith submit:

- (1) executed Declarations by Applicants Tian Xu, Wufan Tao, Maie A.R. St. John, Xiaolan Fei, Royd K. Fukumoto, Shen Zhang, Gregory S. Turenchalk, and Rodney A. Stewart;
- (2) a Transmittal of Substitute Sequence Listing;
- (3) a Substitute Sequence Listing in Paper and Computer Readable Form pursuant to 37 C.F.R. § 1.821; and
- (4) a return copy of the Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures.

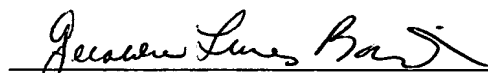
Applicants are concurrently filing the following documents:

- (5) a Transmittal of Power of Attorney with Exhibit A, a copy of the Assignments being concurrently submitted to the Recordation Branch of the United States Patent and Trademark Office;
- (6) a Power of Attorney by Assignee executed by Dorothy K. Robinson;
- (7) a Preliminary Amendment with Exhibit A; and
- (8) a Petition for Extension of Time, together with authorization to pay the necessary fees.

Pursuant to 37 C.F.R. § 1.492(e), the surcharge required for filing of the Declaration is believed to be \$130.00. Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150, along with any deficiencies in fees due. A copy of this sheet is enclosed for accounting purposes.

Respectfully submitted,

Dated: August 6, 2001

  
Geraldine F. Baldwin 31,232  
(Reg. No.)

**PENNIE & EDMONDS LLP**  
1155 Avenue of the Americas  
New York, New York 10036-2711  
(212) 790-9090  
Attorneys For Applicants

Enclosures

Express Mail No.: EL 501 641 199 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: *Xu et al.*

Application No.: 09/763,334

Group Art Unit: To be assigned

Filed: February 16, 2001 as National Stage  
Application of PCT/US99/19068, filed  
August 18, 1999

Examiner: To be assigned

Attorney Docket No.: 6523-020

For: TREATMENT AND PREVENTION OF  
CANCER AND PITUITARY DISORDERS  
WITH LATS PROTEINS, DERIVATIVES  
AND FRAGMENTS, AND LATS  
KNOCK-OUT ANIMAL MODELS

**TRANSMITTAL OF POWER OF ATTORNEY BY ASSIGNEE  
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. § 3.71**

Assistant Commissioner for Patents  
Washington, D.C. 20231

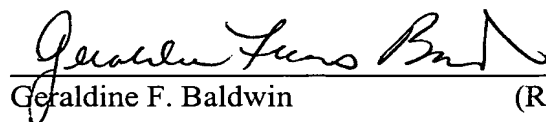
Sir:

Submitted herewith is a Power of Attorney By Assignee and Exclusion of Inventor(s) Under 37 C.F.R. § 3.71 executed by Dorothy K. Robinson on behalf of Yale University, the assignee of the above-identified patent application. Applicants also submit Exhibit A, a copy of the Assignments being concurrently submitted to the Recordation Branch of the United States Patent and Trademark Office.

Applicants respectfully request that the enclosed Power of Attorney By Assignee and Exclusion of Inventor(s) Under 37 C.F.R. § 3.71 be made of record in the file of the application.

Respectfully submitted,

Date: August 6, 2001

  
Geraldine F. Baldwin 31,232  
(Reg. No.)

**PENNIE & EDMONDS LLP**  
1155 Avenue of the Americas  
New York, New York 10036-2711  
(212) 790-9090  
Attorneys For Applicants

Enclosure

# POST OFFICE TO ADDRESSEE



**EXPRESS  
MAIL**

UNITED STATES POSTAL SERVICE™



\*EL501

in customer block (b)

## ORIGIN (POSTAL USE ONLY)

PO ZIP Code <b>10017</b>	Day of Delivery <input checked="" type="checkbox"/> Next <input type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/> <b>NO</b>
Date In <b>8/6/01</b>	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage <b>\$ 3295</b>
Time In <input checked="" type="checkbox"/> AM <input type="checkbox"/> PM	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee <b>NO</b>
Weight <b>1.00</b> lbs	Int'l Alpha Country Code	COD Fee <b>NO</b>
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials <b>WLB</b>	Insurance Fee <b>NO</b>
Total Postage & Fees <b>\$ 3295</b>		

## DELIVERY (POSTAL USE ONLY)

Delivery Attempt	Time	Employee Sign
Mo. Day	<input type="checkbox"/> AM <input type="checkbox"/> PM	
Delivery Attempt	Time	Employee Signatu
Mo. Day	<input type="checkbox"/> AM <input type="checkbox"/> PM	
Delivery Date	Time	Employee Signature
Mo. Day	<input type="checkbox"/> AM <input type="checkbox"/> PM	
Signature of Addressee or Agent		

## CUSTOMER USE ONLY

TO FILE A CLAIM FOR DAMAGE OR LOSS OF CONTENTS, YOU MUST PRESENT THE ARTICLE, CONTAINER, AND PACKAGING TO THE USPS FOR INSPECTION.

☐ **WAIVER OF SIGNATURE** (Domestic Only): Additional merchandise insurance. I wish delivery to be made without obtaining signature of addressee or agent. That article can be left in secure location and I authorize that delivery.

☐ **NO DELIVERY** ☐ Weekend ☐ Holiday

## FROM: (PLEASE PRINT)

**PENNIE & EDMONDS LLP**  
1155 AVENUE OF THE AMERICAS  
17TH FL  
NEW YORK, NY 10036-2711

## TO: (PLEASE PRINT)

**ASSISTANT ATTORNEY  
FOR PATENTS  
WASHINGTON**

Call 1-800-222-1811 for our convenient pick-up service (places) or drop off your Express Mail package at a post office.

**DEPOSITO O RECOLECCION** Llame al 1-800-222-1811 para nuestro servicio de recolección.

FOR PICKUP OR TRACKING CALL 1-800-222-1811 [www.usps.gov](http://www.usps.gov)

**RECEIVED**  
AUG 7 2001  
MAIL CENTER

**RECEIVED**  
AUG 06 2001  
MAIL CENTER